“To-Be” Major Trust Business Processes
Universal Support Function Requirements

1. Automated Information and Systems Requirements

Common requirements within each major trust business process:

- Integrated trust data that is current, accurate and easily accessible by DOI and beneficiaries in a standard desktop environment.
- Beneficiary identification matched with the integrated data for all of the natural, physical, and human resources.
- Information security controls to ensure that only authorized personnel can access specific trust data.
- Historic to present transactions, informational inquiries, development successes, and statistical evaluation methodologies on a real-time basis.
- Automated reporting capability by the resource.
- Document transferable electronically for review as well as electronic signature capability availability.
- Geo-spatial referenced data: The ability to drape aerial photography, digital elevation models, or satellite imagery resource data over survey measurements and boundary lines connecting with ownership, financial returns, beneficiary services, and resource use and success.

Process specific requirements:

<u>Financial Operations</u>

- Develop and implement a Funds Receivable System
    - Ability to produce electronic bill and remittance coupons to be sent to payors
    - Develop interface with the bank for transmitting lockbox information
    - Develop inquiries & reports to support receivable tracking
    - Develop cash projection reports and inquiries
- Automatically produce 10 day show cause notices
    - Automated calculation of penalties and interest for non-payment or late payment
- Develop & implement automatic reconciliation system
- Develop & implement auto reporting systems
- System capability which houses trust data from beginning to end.
- Auto report generation which meets the federal government’s reporting requirements

Beneficiary Relationship Development & Management

- Integrated trust data
    - Beneficiary identification, such as Personal Identification Number needs to be matched with the integrated data.
    - Beneficiary, ownership, land and natural resource planning, land and natural resource use and management, and financial operations data must be included in the integrated data so a single query may retrieve all pertinent data from these trust functional areas.
    - Trust documents need to be imaged, stored, and retrieved. The imaged documents need to be linked to the appropriate integrated data so they are readily available for reference.
- Information Security
    - Information security controls need to be in place to ensure that only authorized personnel can access specific trust data.
    - Inquiry / Request Tracking System
    - Provide an ability to document inquiry / request transactions to include:
    - Identify Inquiry / request owner and status.
    - Electronic notification of request owners of upcoming deadlines and / or required actions.
    - Transfer of requests to another office and owner.
    - Time stamp all transactions.
    - Display a log of previous requests related to a requestor.
    - Touch screen technology to facilitate the timely entry and easy access to the tracking data.
    - Annotation of an inquiry / request when the same inquiry / request is made.
    - Annotation of and inquiry / request when the requestor has asked for additional information / documents or when an specific event has occurred.
    - Logging the results of surveys and storing the results of tracking data analysis.
    - Document and track identified business improvements.
    - Document and track identified outreach opportunities.
    - Add, change, and delete records and data elements.
    - Query tracking data.
- Workflow System
    - Confirmation notices need to be automatically generated as appropriate.
    - Offices and request owners need to be notified electronically on activity status, etc.
    - Documents need to be transferred electronically for review and signature.
    - Electronic signature capability needs to be available with the workflow system.

- Infrastructure
    - Common desktop environment to facilitate access to systems and tools in multiple locations without relearning the desktop environment.
    - Network bandwidth capable of transmitting small to large amounts of information to and from remote locations with a reasonable speed.
    - Web technology to facilitate the use of the Internet and web-based software.
- Ancillary Tools
    - Software tools to perform in-depth data analysis and produce trends and summary statistics.
    - Project management tools to status the business improvement initiatives and outreach programs.
    - Workflow tools to track and manage action items and lessons learned

<u>Ownership</u>

- Ability to track conveyances.
- Electronic access to all Federal ownership records and land records:
    - legal land descriptions
    - case law and law library research tools
    - references, handbooks, manuals, and materials
- Interactive access for application checklists available at a terminal in the field.
- Ability to scan Deeds, title insurance, survey information, and other application documentation for automated transmittal.
- Ability to send and receive requests for Preliminary and Final Title Opinions, Removal of Restrictions or Patent in Fee.
- Tribal system considerations.
- Internet resources for accessing information allowing probate staff to efficiently complete probate files.
- Probate work flow tool that can:
    - Guide the user through the probate and when needed prompts the user to collect specific documentation.
    - Generate needed forms/letters, e.g., proposed decision, distribution orders, notices, etc.
    - Access BIA Title database for ownership records.
- Prioritize probates by linking to a genealogy database (father's probate before the son).
- Ability to coordinate the closing of a probate case between all affected BIA/Tribal offices, Title and OST/OTFM.
- Capability to prompt users on significant dates by electronic reminders e.g. appeal period start/end date, etc.
- Prohibits release of the probate file until all recommended resources for information have been queried.
- Track probates

- Integrated, Nationwide Title data, based on a cadastral layer which is current, accurate and easily accessible.
- Control access of sensitive data
- Network infrastructure for “real time” access to Title information.
- Common “desk top” computing environment.
- One standard land status record system.
- Land status record system based on a cadastral layer which provides the legal land description.
- Cadastral survey inquiry tracking system.
- Electronic historical and current cadastral survey data.
- Cadastral survey data accessible through the Internet.
- Electronic access to all Federal ownership records and land records.
- Electronic access to references, handbooks, manuals, and materials.

Land & Natural Resources Planning

- Develop a database of all reviewed valuations, including automated valuation method reports.
    - Develop an appraisal request tracking system.
    - Develop or purchase automated valuation method (AVM) software
    - Electronic document change control
- Integrated data containing all known natural, physical, and human resource information
- Geo-spatial referenced data: The ability to drape aerial photography, digital elevation models, or satellite imagery resource data over survey measurements and boundary lines.
- Electronic access to tribal records, state and county plans, and photographs
- Workflow and tracking tools to route plan requests, approvals and clearances
- Project management software
- Database indexing software for easy retrieval of documents
- Electronic formats; e.g., standardized plan and NEPA documentation templates

Land & Natural Resources Use & Management

- Ability to identify lands which can be aggregated to Management Units for more efficiency and higher value, and identify problems earlier
    - Detail and Summary Land Management Reporting from integrated data across GIS, leasing, permitting, and ownership, with consistent definition and format between regions and offices.
- Develop a module for standardized consent applications.
- Protected database of Tribal rights integrated with planning, land use & management information.
- Supports the documentation and recordation of activities to administer non-contracted lands.
- Provides for periodic updates of owners use within the integrated data system.

- Automated generation of the remittance and distribution advices electronically extracted from the terms and conditions of the use agreement from the electronic use agreement management system queried against the ownership interest data.
- Master Land Summary application to view and track performance by program (land use type), as well as by levels of geographic area (across use types)
- Land Use contracting programs (TAAMS or similar) with GIS functionality, effective date, and online retrieval of historical data
- Workflow engine to support more responsive processes with reduced cycle times, that provide electronic attachment routing, automatic escalation procedures, and policy rules
- Electronic permit/lease/agreement documentation with electronic secured signature features
- Master Land Summary application to view and track performance by program (land use type), as well as by levels of geographic area (across use types), also including GRPA and ABC reporting. This will consolidate annual Realty (Indian Lands Report) and annual Natural Resources Information Report (NRIS)

2. Policies, Procedures and Regulations

Common Requirements for all major trust business processes

- Electronic signature authority to facilitate the use of electronic documents.
- Trust policies, procedures, and regulations should be available on-line and accessible by all personnel and beneficiaries.

Process specific requirements:

Financial Operations

- Develop regulations to accommodate the new Financial Operations process.
- Develop & implement new policies & procedures for:
    - Use of an Funds Receivable System
    - Lockbox usage
    - 10 day show cause notices
    - Automatic generation of penalties
    - Transferring successful bid deposit proceeds to Trust accounts
    - Periodic compliance review of fund collections and disbursements.
- Ensure all federal agencies' collections and payments are through IPACS
- Develop Trust fund accounting procedures. Should trust fund accounting be exempt from the federal government's FACTS I & II reports which are generated from USSGL, since trust fund accounting does not use USSGL?

Beneficiary Relationship Development & Management

- Personal Identification Number technology for beneficiary identification and accessing beneficiary information.

Ownership

- Consolidate all acquisition regulations into subparts under part 151-Land Acquisitions and rewrite to accommodate the new conveyance process. Examples include:
  - Subpart A On-Reservation Tribal
  - Subpart B On-Reservation Individual
  - Subpart C Off-Reservation Tribal
  - Subpart D Off-Reservation Individual
  - Subpart E Acquisitions for Gaming Purposes
  - Subpart F Mandated Acquisitions
  - Subpart G Acquisitions for Landless Tribes
  - Subpart H Exchanges and Partitions (See 152 Disposals Subpart E)
- Consolidate all land disposal regulations into subparts under 25 CFR Part 152-Land Disposals. Examples include:
  - Subpart A Negotiated Sales
  - Subpart B Advertised Sales
  - Subpart C Deferred Payment Sales
  - Subpart D Sale of Irrigable Lands, Special Water Contract Requirements
  - Subpart E Exchanges, Partitions, and Gift Deeds, Osage Lands (formerly part 158)
  - Subpart F Removal of Restrictions and Patents in Fee
- Replace 25 CFR 15 and 43 CFR 4 with one set of regulations for the new probate process.
- Review of 25 USC 372 to determine if it is an impediment to probates that do not have a hearing.
- Revise 25 CFR 150 to accommodate the new Title process.
- Policies and procedures to assist in determining survey service.
- Policies and procedures for contracting with commercial activity surveyors.

Land & Natural Resources Planning

- Retire 52 BIAM Supplement 1
- Develop an appraisal handbook
- Issue a policy statement that evidence of market value for low value / low risk transactions will be based on a market study in lieu of an appraisal.
- Evaluate NEPA and other environmental laws and regulations and/or Tribal code, and their applicability, to transactions on Trust or restricted lands. Issue revised

policy relative to applicability of Indian lands being managed the same as non-Indian fee lands, rather than as federal lands of the general public.

<u>Land & Natural Resources Use and Management</u>

- Develop policies and procedures to:
  - Unitize tracts to Management Units, perform planning at this level and assess economic cost/benefit.
  - Standardize land use contracts fees and administrative cost recovery fees.
  - Guide the solicitation and identification of Beneficiary rights, how to document them for land management consideration, how to determine the Beneficiary entity with authority to identify status of the right.
  - Develop criteria for trustee authority to contract and manage land use without seeking consent, for "highly fractionated" Management Units.
  - Conduct owner use documentation and leasing requirements.
  - Collect for penalties for resource damages and for non-payment.
  - Provide summary land use reports to beneficiaries and tribal governments.
- Revise the current IAM to reflect the new consent approach.
- Consolidate and rewrite all land management regulations into one Part (e.g. 25 CFR Part XXX – Land and Natural Resource Use and Management) to accommodate the new process. Part XXX would have all the common regulations governing Use and Management. Put all specific land management uses as subparts, e.g., Subpart A – Leases and Permits, Subpart B – General Forestry, Subpart C – Grazing Permits, Subpart D – Leasing of Allotted Land for Mineral Development.
- Provide consistent standard procedures for the preparation of electronic pre-lease remittance and distribution advice by program personnel.
- Standardized procedures for encoding land use contracts.

3. Training

<u>Financial Operations</u>

- Develop and implement standardized training on:
  - Lockbox usage
  - Use of Accounts Receivable System
  - New or revised policies, procedures and regulations
  - Interpreting IIM account transaction statements
- Initiate continuing education program on analytical and interpretative accounting skills.

Beneficiary Relationship Development & Management

- Develop and implement standardized training on:
  - Use of automated systems
  - Trust relationship management
  - Building beneficiary relationships
  - Customer service management
  - Communications
  - Orientation for new personnel, (entry, intermediate, and advanced)
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- Provide cross training to Integrated Servicing Office personnel on "To-Be" trust business process specific functions such as fee to trust, land use planning, leasing and permitting, reports and statements, (entry, intermediate and advanced).
- Initiate certification program for Integrated Servicing Office personnel providing asset counseling services, (entry, intermediate and advanced).

Ownership

- Develop and implement standardized training on:
  - Use of automated systems
  - New or revised policies, procedures and regulations.
  - Electronic records management
  - Cultural sensitivity to tribal traditions and tribal history
  - Analytical Concepts
  - Report Writing
  - Research Skills
  - Federal Land Law
  - Survey function in the Ownership trust business process
  - Public Land Survey System (PLSS)
  - Probate file preparation using workflow tool
  - Probate of trust property
- Initiate certification program for Realty personnel on Indian Land Tenure and federal law, (entry, intermediate and advanced).
- Initiate certification program for Title Examiner personnel, (entry, intermediate and advanced).
- Provide cross training to personnel on "To-Be" trust business processes, (entry, intermediate and advanced).
- Develop curriculum and initiate an accreditation program for:
  - Licensed federal surveyors.
  - Commercial Activity Inspectors.

Land & Natural Resources Planning

- Develop and implement standardized training on:
  - Requesting a valuation
  - Interpreting an appraisal
  - Use of automated systems
  - Revised NEPA and environmental compliance policy
  - Land and Natural Resources Planning trust business process
- Require state certification for appraisal staff.
- Establish summer internships for appraisal program, (target students and tribal members).

Land & Natural Resources Use and Management

- Develop and implement standardized training on:
  - Land and Natural Resources Use and Management trust business process
  - Management Unit concepts, policies and procedures
  - New approaches to consent for each type of land use
  - Identifying, monitoring, recording and reporting "owners use"
  - Procedures for monitoring, compliance and enforcement
  - Use of automated systems including: spatial analysis to assess land use and status, performance metric reporting and land status reporting.
- Initiate certification program for monitoring, assessing and investigating land use compliance, (entry, intermediate and advanced).

4. Records Management

Financial Operations

- Develop retention requirements for electronic records, forms, and signatures
- Develop retention requirements for imaged documents
- Develop retention requirements for paper checks and documentation submitted to the lockbox.

Beneficiary Relationship Development & Management

- Develop retention requirements for electronic records, forms, and signatures

Ownership

- Develop retention requirements for electronic records, forms, and signatures
- Establish electronic Cadastral survey, consultation and other services records, historical as well as current.
- Establish electronic Policies and procedures records, for reference on how and why a survey service was performed a certain way.

- Develop Internet access for all Cadastral surveys and related records.
- Record Survey Accreditation program results
- Provide for electronic copies of all land decisions dealing with survey to tribal as well as agency staff.
- Establish new Records Management (Paper and Electronic records) schedules to document business processes and associated modeling.

Land & Natural Resources Planning

- Establish new record retention schedules for wide-area planning documents, including associated environmental documentation.

Land & Natural Resources Use & Management

- Establish records retention schedule for new consent documents.
- Establish records retention schedules for land use monitoring, assessment and reporting.
- Establish new Records Management (Paper and Electronic records) schedules to document LNRUM business processes and modeling.
- Develop new records retention schedules for sole owner use; tribal and fractionated owners use
- Develop retention requirements for electronic records, case files, forms, and signatures
- Develop retention requirements for imaged documents

5. Risk Assessment

Financial Operations

- Mitigate risk of staff handling trust funds, performance bonds and bid deposits by implementing a funds receivable and escrow tracking systems.

Beneficiary Relationship Development & Management

- Establish service delivery standards that are consistent with responsibility and accountability.
- Provide for appropriate data access by beneficiaries.
- Establish sufficient personnel and resources to support the Integrated Servicing Office.

Ownership

- Establish secure electronic transmittal of documentation and data.
- Implement an expedited probate process as contrasted to a complicated probate process.
- Reduce risk associated with use of commercial activity surveyors.

- Reduce risk associated with the deterioration of the PLSS monuments and boundaries. This will cause a significant increase in the costs associated with surveys in the long run if not addressed by survey monument maintenance.

Land & Natural Resources Planning

- Document Tribal support for a DOI-developed wide-area plan.
- Establish a record of DOI area-wide approved plans with supporting NEPA clearance documentation to support land use contracts.
- Development of agreements to specify the roles and responsibilities of the parties involved in planning initiatives.

Land & Natural Resources Use and Management

- Develop guidelines and criteria for assessing the risks of not developing land use contracts for idle lands (lands not under owner-use) need to be developed and integrated into the management unit planning policies and procedures.
- Reduce risks associated with the unidentified land owners use which may lead to permanent damage, depletion and/or degradation of the Trust resources.
- Insure adequate staffing to perform land use monitoring, trespass and enforcement actions.

6. Workforce Planning

Financial Operations

- Identify organizational responsibilities and associated staffing requirements for trust business process functions; include personnel for Compact/Contract tribal programs.
- Develop standard position descriptions for Financial Operations personnel.
- Develop performance plans, including performance standards and accountability.

Beneficiary Relationship Development & Management

- Identify staffing requirements for the Integrated Servicing Office and include personnel for Compact/Contract tribal programs.
- Develop standard position descriptions for Integrated Servicing Office personnel.
- Develop performance plans, including performance standards and accountability.
- Establish a work force "surge" capability with appropriate clearances for critical time periods.

Ownership

- Identify staffing requirements for the trust business process functions and include:
    - Solicitor position at each BIA Regional office
    - Survey positions in appropriate geographic locations

        - Environmental staff at the BIA Agency and Regional offices
        - Personnel for the Office of Trust Adjudication.
        - Personnel for Compact/Contract tribal programs.
- Develop standard position descriptions for Realty personnel, including pre-hire competencies, (skill sets).
- Initiate pre-hire testing for Realty staff positions.
- Develop standard position descriptions for Title personnel
- Develop standard position description for regional Cadastral Surveyor
- Develop performance plans, including performance standards and accountability.

<u>Land & Natural Resources Planning</u>

- Identify staffing requirements for the trust business process functions and include:
    - Planner position at each BIA Regional and/or Agency Field office.
    - Adequate Appraisal staff in BIA Regions.
    - Personnel for Compact/Contract tribal programs
- Develop standard position descriptions for Planner positions, including pre-hire competencies, (skill sets).
- Develop performance plans, including performance standards and accountability.
- Develop an Appraisers' skills inventory that includes competencies, availability and location.
- Designate Field/Agency Office Planning Coordinators

<u>Land & Natural Resources Use and Management</u>

- Identify staffing requirements for the trust business process functions and include:
    - Personnel for the development of surface and sub-surface Management Unit plans, contract preparation and contract processing.
    - Personnel for the issuance of consent notices, receipt and tabulation of consent replies.
    - Personnel for monitoring, compliance and enforcement.
    - Personnel for Compact/Contract tribal programs
- Develop performance plans, including performance standards and accountability.
- Identify skill sets required to:
    - Identify, monitor and record owners use
    - Monitor and enforce compliance
    - Perform spatial analysis
    - Identify and record land use
    - Conduct natural resource inventories

Develop standard position descriptions for positions, including pre-hire competencies, (skill sets).

7. Internal Controls/Fiduciary Standards/Audit

<u>Financial Operations</u>

- Provide periodic internal review and audit of trust fund collection and disbursement transactions

Ownership

- Perform audit, peer review and transactions review
- Certify separation of duty to ensure there is no conflict of interest with personnel and transactions
- Control system security to allow specified personnel access to given datasets with in their authorities
- Establish Commercial Activity Inspector (CAI) to provide control over commercial activity contracts
- Attest the delegated line official's authority to issue a decision

Land & Natural Resources Planning

- Build review and approval and support into the planning process to ensure the beneficiary's' intent for land and natural resource use is
- Certify appraisers in accordance with Uniform Standard Professional Appraiser Practice (USPAP)

Land & Natural Resources Use and Management

- Perform review of "authority to grant" determination in high value leasing transactions